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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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01/11/01
JC987 U.S. PTO

JC987 U.S. PTO
097759728

01/11/01
Barcode

UTILITY PATENT APPLICATION TRANSMITTAL
(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 5168P001
(maximum 12 characters)

First Named Inventor Elliot Schwartz

Title: METHOD AND APPARATUS FOR FIREWALL TRAVERSAL

Express Mail Label No. EL 67274 8735 US

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D. C. 20231

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. Applicant Claims Small Entity Status. (37 CFR 1.27)
3. Specification (Total Pages 28, including cover page)
(preferred arrangement set forth below)
 - Descriptive Title of the Invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawings(s) (35 USC 113) (Total Sheets 6 sheets of six figures)
5. Oath or Declaration (Total Pages 5); SIGNED
 - a. Newly Executed (Original or Copy)
 - b. Copy from a Prior Application (37 CFR 1.63(d))
(for Continuation/Divisional with Box 17 completed)
 - i. DELETIONS OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
 - c. Unsigned.
6. Application Data Sheet. (37 CFR 1.76)
7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. paper
 - c. Statement verifying identity of above copies

FEE CALCULATION (continued)

3. ADDITIONAL FEES

<u>Large Entity</u>	<u>Fee</u>	<u>Small Entity</u>	<u>Fee</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Code	Fee (\$)	Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
128	1,890	228	945	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive unavoidably abandoned application	
141	1,240	241	620	Petition to revive unintentionally abandoned application	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40.00
146	710	246	355	For filing a submission after final rejection	
149	710	249	355	For each additional invention to be examined	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other: _____				SUBTOTAL (3)	\$ 40.00

*Reduced by Basic Filing Fee Paid

SUBMITTED BY:

Typed or Printed Name: James H. Salter
 Signature: James H. Salter Date: 1/11/01
 Reg. Number: 35,668 Customer Number: 008791
 (complete if applicable)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

EXPRESS MAIL CERTIFICATE OF MAILING

"Express Mail" mailing label number: EL 67274 8735 US

Date of Deposit: January 11, 2001

I hereby certify that I am causing this paper or fee to be deposited with the United States Postal Service "Express Mail Post Office to Addressee" service on the date indicated above and that this paper or fee has been addressed to BOX PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

Barbara Skliba

Name of Person Mailing Paper or Fee

Barbara Skliba

Signature of Person Mailing Paper or Fee

1/11/01

Date Signed

10/11/01
jc960 U.S. PTO

01-16-01

PTO/SB/17(11-00)

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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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A

FEE TRANSMITTAL FOR FY 2000

TOTAL AMOUNT OF PAYMENT (\$) 938.00

Complete if Known:

Application No. Unassigned
Filing Date January 11, 2001
First Named Inventor Elliot Schwartz
Group Art Unit Unassigned
Examiner Name Unassigned
Attorney Docket No. 5168P001

METHOD OF PAYMENT (check one)

1. The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number _____
Deposit Account Name _____

Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17, charge any deficiencies, and credit any over payments to Deposit Account Number 02-2666

Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.131(b)

2. Payment Enclosed
 Three checks in the amounts of \$710.00, \$188.00, and \$40.00
 Money Order
 Other

FEE CALCULATION (fees effective 10/01/00)

1. **FILING FEE**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
101	710	201	355
106	320	206	160
107	490	207	245
108	710	208	355
114	150	214	75
		Utility application filing fee	<u>710.00</u>
		Design application filing fee	_____
		Plant filing fee	_____
		Reissue filing fee	_____
		Provisional application filing fee	_____
		SUBTOTAL (1)	
		\$ <u>710.00</u>	

2. **CLAIMS**

	<u>Extra</u>	<u>Fee from below</u>	<u>Fee Paid</u>
Total Claims	<u>26</u>	<u>- 20 = 6</u>	<u>X 18 = 108</u>
Independent Claims	<u>4</u>	<u>- 3 = 1</u>	<u>X 80 = 80</u>
Multiple Dependent Claims	<u>0</u>	<u>X 0 = 0</u>	<u>= 0</u>

Large Entity **Small Entity**

<u>Large Entity</u>	<u>Small Entity</u>	<u>Fee Description</u>	<u>Fee Paid</u>
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)
103	18	203	9
102	80	202	40
104	270	204	135
109	80	209	40
110	18	210	9
		Claims in excess of twenty	<u>108.00</u>
		Independent claims in excess of 3	<u>80.00</u>
		Multiple dependent claim	_____
		Reissue independent claims over original patent	_____
		Reissue claims in excess of 20 and over original patent	_____
		SUBTOTAL (2)	
		\$ <u>188.00</u>	

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ACCOMPANYING APPLICATION PARTS

9. **Assignment Papers (cover sheet & documents(s))**

10. _____ a. Separate 37 CFR 3.73(b) Statement (where there is an assignee)

_____ b. Power of Attorney

11. _____ English Translation Document (if applicable)

12. _____ a. Information Disclosure Statement (IDS)/PTO-1449

_____ b. Copies of IDS Citations

13. _____ **Preliminary Amendment**

14. **Return Receipt Postcard (MPEP 503) (Should be specifically itemized)**

15. _____ Certified Copy of Priority Document(s) (if foreign priority is claimed)

16. **Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.**

17. Other: Three checks in the amounts of \$710.00, \$188.00, and \$40.00

18A. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

Continuation _____ Divisional _____ Continuation-in-part (CIP)
Of Prior Application No.: _____ Examiner _____ Group Art Unit _____

(which is a _____ continuation/ _____ divisional/ _____ CIP of prior application no. _____,
which is a _____ continuation/ _____ divisional/ _____ CIP of prior application no. _____) (List entire chain of priority)

For CONTINUATION AND DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18B. Statement under 37 CFR 3.73(b) for continuing application:

The undersigned states that _____ (name of assignee) is the assignee of the entire right, title, and interest in the accompanying patent application by virtue of an assignment recorded in the Patent and Trademark Office at Reel. No. _____ Frame No. _____ (or a copy of which is attached).

19. Correspondence Address

Customer Number or Bar Code Label 008791
or
(Insert Customer No. or Attach Bar Code Label here)

Correspondence Address Below

NAME James H. Salter

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

ADDRESS 12400 Wilshire Boulevard

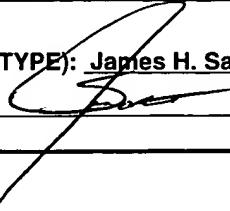
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CITY Los Angeles STATE California ZIP CODE 90025-1026

Country U.S.A. TELEPHONE (408) 720-8300 FAX (408) 720-9397

Name (PRINT/TYPE): James H. Salter

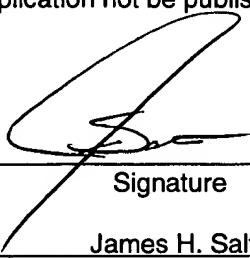
Registration No.: 35,668

Signature: 

Date: 1/1/01

REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)First Named Inventor Elliot SchwartzTitle METHOD AND APPARATUS FOR FIREWALL TRAVERSALAttorney Docket No. 5168P001

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

1/4/01
Date

Signature

James H. Salter
Typed or Printed Name35,668

Registration No.

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months after the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Send to: Assistant Commissioner for Patents, Washington, D.C. 20231